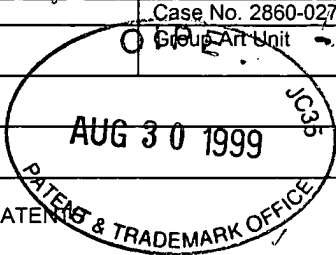


1635

TRANSMITTAL LETTER			Case No. 2860-027
Serial No. 08/882,950	Filing Date June 26, 1997	Examiner	Group Art Unit
Inventor(s) Stuart A. Kauffman and Julius Rebek, Jr.			
Title of Invention RANDOM CHEMISTRY FOR THE GENERATION OF NEW COMPOUNDS			

#15
CPL
10/7/99

TO THE ASSISTANT COMMISSIONER FOR PATENTS

Transmitted herewith is Status Inquiry (2p) in dupl.; Attachment A: Copy of Memo dated May 19, 1999 (1p); Attachment B: Copy of previously submitted Response to Notice to File Missing Parts filed February 2, 1998 (6p); Attachment C: Copy of Preliminary Amendment and Transmittal filed March 18, 1999 (7p); Return PostCard.

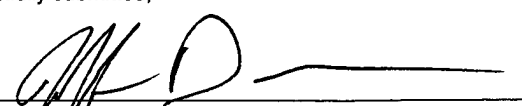
- ☐ Small entity status of this application under 37 CFR § 1.27 has been established by verified statement previously submitted.
- ☐ A verified statement to establish small entity status under 37 CFR §§ 1.9 and 1.27 is enclosed.
- ☐ Petition for a _____ month extension of time.
- ☒ No additional fee is required.
- ☐ The fee has been calculated as shown below:

RECEIVED
SEP 02 1999

					Small Entity		Other Than Small Entity	
	Claims Remaining After Amendment		Highest No. Previously Paid For	Present Extra	Rate	Add'l Fee	Rate	Add'l Fee
Total		Minus			x \$11=		x \$22=	
Indep.		Minus			x \$41=		x \$82=	
First Presentation of Multiple Dep. Claim					+\$135=		+\$270=	
					total add'l fee	\$	total add'l fee	\$

- ☐ Please charge Deposit Account No. 23-1925 (BRINKS HOFER GILSON & LIONE) in the amount of \$_____. A duplicate copy of this sheet is enclosed.
- ☐ A check in the amount of \$_____ to cover the filing fee is enclosed.
- ☒ The Assistant Commissioner is hereby authorized to charge payment of any additional filing fees required under 37 CFR § 1.16 and any patent application processing fees under 37 CFR § 1.17 associated with this communication or credit any overpayment to Deposit Account No. 23-1925. A duplicate copy of this sheet is enclosed.
- ☐ I hereby petition under 37 CFR § 1.136(a) for any extension of time required to ensure that this paper is timely filed. Please charge any associated fees which have not otherwise been paid to Deposit Account No. 23-1925. A duplicate copy of this sheet is enclosed.

Respectfully submitted,


Jeffery M. Duncan
Registration No. 31,609
Attorney for Applicants

BRINKS HOFER GILSON & LIONE
P.O. BOX 10395
CHICAGO, ILLINOIS 60610
(312) 321-4200

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231, on August 26, 1999.

Date: Aug 26, 1999 Signature: 

rev. Oct-87
C:\msoffice\Templates\Patent Forms\TRANSMIT-OTHER.dot

Stamp: OIPE
AUG 30 1999
JC35
PATENT & TRADEMARK OFFICE

Case No. 2860-027


On May 19, 1999, the undersigned attorney received a telephone call from Ms. Linda Hallman in the Application Branch that the above-identified case was in line to go abandoned due to failure to respond to Notice to File Missing Parts of Application. Enclosed is a copy of our file memo of the same date regarding the details of that telephone conversation.

In accordance with the Notice to File Missing Parts of Application Filing Date Granted dated September 2, 1997, and as evidenced by the attached documents, Applicants filed a Response to Notice to File Missing Parts, Petition to Extend Time and appropriate filing fees on February 2, 1998. Also enclosed is a copy of the Preliminary Amendment as filed on March 18, 1998. To date Applicants have not yet received a First Office Action and, therefore, respectfully request a status inquiry of the subject application.

The Assistant Commissioner is hereby authorized to charge any additional fees associated with examination of this application to Deposit Account No. 23-1925.

Respectfully submitted,

Dated: August 26, 1999



Jeffery M. Duncan
Registration No. 31,609
Attorney for Applicant

BRINKS HOFER GILSON & LIONE
P.O. BOX 10395
CHICAGO, IL 60610
(312)321-4200

MEMORANDUM

TO: 2860-27
Stuart Kauffman – Random Chemistry

FROM: Jeffery M. Duncan/kwe

DATE: May 19, 1999

Received a call from a Linda Hallman in the application branch at the USPTO informing us that the case was getting ready to go abandoned and did we submit a response to notice to file missing parts.

We communicated to her that we were currently preparing a Status Inquiry in this case. Also, that there was no reason to believe that this case should go abandoned as we filed the response to notice to file missing parts, a three-month petition to extend time and appropriate fees on February 2, 1998. We also filed a preliminary amendment on March 18, 1998.

When asked if we should fax her a copy of our response, she said it was not necessary and that she would call back if we needed to do this. Ms. Hallman also stated she was not sure why the application was sent to her branch for abandonment, and that it was probably in error. She said it would be directed to the appropriate group art unit.

As a result of today's communication with the PTO, we will delay in submitting a status inquiry at this time.

**Linda Hallman (703) 308-8307
(703) 306-4003 Fax

Case No.
Applicant

2860-027
Kauffman

Hon. Commissioner of Patents & Trademarks
Washington, D.C. 20231

Please acknowledge receipt of the below-identified:

1. PTO Form 1533
2. Response to Notice to File Missing Parts in dupl.
2. Check \$460.00
3. Petition for Time 3 mos. In dupl.
4. Check \$475.00
5. Return PostCard

BY: **BRINKS HOFER GILSON & LIONE**
Jeffery M. Duncan



I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231, on February 2, 1998

Date of Deposit

Jeffery M. Duncan

Name of applicant, assignee or
Registered Representative



Signature

Feb. 2, 1998

Date of Signature

Case No. 2860-027

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Stuart A. Kauffman
Julius Rebek, Jr.

Serial No.: 08/882,950

Filed: June 26, 1997

For: RANDOM CHEMISTRY
FOR THE GENERATION
OF NEW COMPOUNDS

Attention: Manager,
Application Branch

**RESPONSE TO NOTICE TO FILE MISSING PARTS OF APPLICATION
FILING DATE GRANTED**

Assistant Commissioner for Patents
Washington, D.C. 20231

Dear Sir:

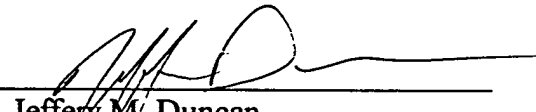
In accordance with the Notice to File Missing Parts of Application Filing Date Granted dated September 2, 1997, a copy of which is attached, enclosed herewith for filing are the following documents:

- ☐ Fully executed Declaration for Patent Application and Power of Attorney for the above-referenced patent application.
- ☒ Applicant is:

- ☒ a small entity, verified statement is:
- ☐ attached
- ☒ already filed
- ☐ other than small entity
- ☒ Checks totaling \$460 for:
- ☒ Filing Fee of \$395.00.
- ☒ Surcharge of \$65.00.
- ☐ Additional Claim Fees of \$_____.
- ☒ Petition for Extension of Time (37 C.F.R. § 1.136(a)) to file missing parts (in duplicate).
- ☒ Other: Check \$475.00.
- ☒ The Assistant Commissioner is hereby authorized to charge any deficiencies in fees or credit overpayment to Deposit Account No. 23-1925. A duplicate copy of this paper is enclosed.

Respectfully submitted,

Dated: February 2, 1998


Jeffery M. Duncan
Registration No. 31,609
Attorney for Applicant

BRINKS HOFER GILSON & LIONE
P.O. BOX 10395
CHICAGO, IL 60610
(312)321-4200

rev. Oct-97
\\Bhgl_1\sys\APPS\MSOFFICE\TEMPLATE\PTO FORMS\Missing parts.dot

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner of Patents and Trademarks, Washington, D.C. 20231 on

February 2, 1998

Date of Deposit

Jeffery M. Duncan

Name of applicant, assignee or Registered Representative

Signature

Date of Signature

Date of Signature

Case No. 2860-027

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Stuart A. Kauffman and Julius Rebek Jr.

Serial No.: 08/882,950

Filed: February 2, 1998

For: **RANDOM CHEMISTRY FOR THE
GENERATION OF NEW COMPOUNDS**

**Attention: Manager,
Application Branch**

**PETITION TO EXTEND TIME FOR
FILING RESPONSE TO NOTICE TO FILE MISSING PARTS
FILING DATE GRANTED**

**Assistant Commissioner of
Patents and Trademarks
Washington, D.C. 20231**

Dear Sir:

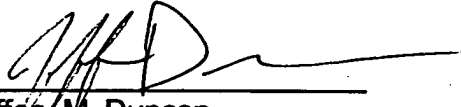
Applicants request that the Patent and Trademark Office extend the time for filing a response to Notice of Missing Parts Filing Date Granted mailed September 2, 1997 by three months, thereby extending the deadline to February 2, 1998. A check in the

amount of \$475.00 for a three-month extension under small entity status is enclosed herewith.

The Commissioner is hereby authorized to charge any additional fees occasioned by this request to Deposit Account No. 23-1925. A duplicate of this sheet is enclosed.

Respectfully submitted,

By: _____


Jeffery M. Duncan
Reg. No. 31,609
Attorney for Applicants

BRINKS HOFER GILSON & LIONE LTD.
Post Office Box 10395
Chicago, Illinois 60610
(312) 321-4200



UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office
Address: COMMISSIONER OF PATENTS AND TRADEMARKS
Washington, D.C. 20231

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NO./TITLE
--------------------	---------------------	-----------------------	---------------------------

08/882,950 06/26/97 KAUFFMAN S 2860-27

0222/0902

BRINKS HOFER GILSON & LIONE
PO BOX 10395
CHICAGO IL 60610

NOT ASSIGNED

DATE MAILED:

1809

NOTICE TO FILE MISSING PARTS OF APPLICATION
Filing Date Granted

09/02/97

An Application Number and Filing Date have been assigned to this application. However, the items indicated below are missing. The required items and fees identified below must be timely submitted **ALONG WITH THE PAYMENT OF A SURCHARGE** for items 1 and 3-6 only of \$ 130 for a ☒ large entity ☐ small entity in compliance with 37 CFR 1.27. The surcharge is set forth in 37 CFR 1.16(e). Applicant is given **TWO MONTHS FROM THE DATE OF THIS NOTICE** within which to file all required items and pay any fees required above to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

If all required items on this form are filed within the period set above, the total amount owed by applicant as a
☒ large entity ☐ small entity (verified statement filed), is \$ 900.

☒ 1. The statutory basic filing fee is:

- ☒ missing.
☐ insufficient.

Applicant must submit \$ 770 to complete the basic filing fee and/or file a verified small entity statement claiming such status (37 CFR 1.27).

☐ 2. Additional claim fees of \$ _____, including any multiple dependent claim fees, are required.
Applicant must either submit the additional claim fees or cancel additional claims for which fees are due.

☐ 3. The oath or declaration:

- ☐ is missing.
☐ does not cover the newly submitted items.
☐ does not identify the application to which it applies.
☐ does not include the city and state or foreign country of applicant's residence.

An oath or declaration in compliance with 37 CFR 1.63, including residence information and identifying the application by the above Application Number and Filing Date is required.

☐ 4. The signature(s) to the oath or declaration is/are:

- ☐ missing.
☐ by a person other than inventor or person qualified under 37 CFR 1.42, 1.43, or 1.47.

A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.

☐ 5. The signature of the following joint inventor(s) is missing from the oath or declaration:

An oath or declaration listing the names of all inventors and signed by the omitted inventor(s), identifying this application by the above Application Number and Filing Date, is required.

☐ 6. A \$ _____ processing fee is required since your check was returned without payment (37 CFR 1.21(m)).

☐ 7. Your filing receipt was mailed in error because your check was returned without payment.

☐ 8. The application does not comply with the Sequence Rules.

See attached "Notice to Comply with Sequence Rules 37 CFR 1.821-1.825."

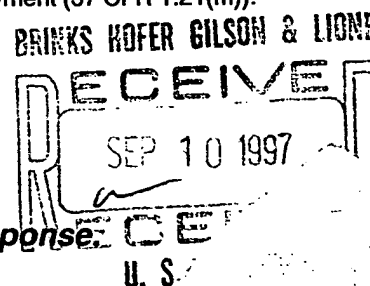
☐ 9. OTHER:

Direct the response and any questions about this notice to "Attention: Box Missing Parts."

A copy of this notice MUST be returned with the response.

Customer Service Center

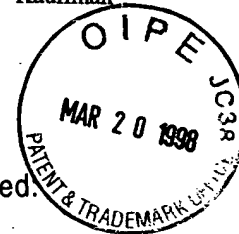
Initial Patent Examination Division (703) 308-1202



Case No.
Applicant

2860-027
Kauffman

Hon. Commissioner of Patents & Trademarks
Washington, D.C. 20231

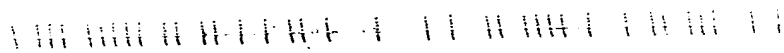


Please acknowledge receipt of the below-identified.

1. Trans. Ltr. 2. Preliminary Amendment 3. Return PostCard

BY: BRINKS HOFER GILSON & LIONE
Jeffery M. Duncan

NE



TRANSMITTAL LETTER			Case No. 2860-027
Serial No. 08/882,950	Filing Date June 26, 1997	Examiner	Group Art Unit
Inventor(s) Stuart A. Kauffman and Julius Rebek, Jr.			
Title of Invention RANDOM CHEMISTRY FOR THE GENERATION OF NEW COMPOUNDS			

TO THE ASSISTANT COMMISSIONER FOR PATENTS

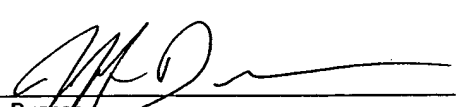
Transmitted herewith is Preliminary Amendment.

- ☐ Small entity status of this application under 37 CFR § 1.27 has been established by verified statement previously submitted.
- ☐ A verified statement to establish small entity status under 37 CFR §§ 1.9 and 1.27 is enclosed.
- ☐ Petition for a _____ month extension of time.
- ☒ No additional fee is required.
- ☐ The fee has been calculated as shown below:

					Small Entity		or	Other Than Small Entity	
	Claims Remaining After Amendment		Highest No. Previously Paid For	Present Extra	Rate	Add'l Fee		Rate	Add'l Fee
Total		Minus			x \$11 =			x \$22 =	
Indep.		Minus			x \$41 =			x \$82 =	
First Presentation of Multiple Dep. Claim					+ \$135 =			+ \$270 =	
					total add'l fee	\$		total add'l fee	\$

- ☐ Please charge Deposit Account No. 23-1925 (BRINKS HOFER GILSON & LIONE) in the amount of \$_____. A duplicate copy of this sheet is enclosed.
- ☐ A check in the amount of \$_____ to cover the filing fee is enclosed.
- ☒ The Assistant Commissioner is hereby authorized to charge payment of any additional filing fees required under 37 CFR § 1.16 and any patent application processing fees under 37 CFR § 1.17 associated with this communication or credit any overpayment to Deposit Account No. 23-1925. A duplicate copy of this sheet is enclosed.
- ☐ I hereby petition under 37 CFR § 1.136(a) for any extension of time required to ensure that this paper is timely filed. Please charge any associated fees which have not otherwise been paid to Deposit Account No. 23-1925. A duplicate copy of this sheet is enclosed.

Respectfully submitted,


 Jeffery M. Duncan
 Registration No. 31,609
 Attorney for Applicants

BRINKS HOFER GILSON & LIONE
 P.O. BOX 10395
 CHICAGO, ILLINOIS 60610
 (312) 321-4200

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231, on March 18, 1998.

Date: Mar 18, 1998 Signature: 

PATENT

Attorney No. 2860-27

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to Commissioner of Patents and Trademarks, Washington, D.C. 20231, on

March 18, 1998
Date of Deposit

Jeffery M. Duncan
Name of Reg. Representative

March 18, 1998
Date of Signature

Signature

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Stuart A. Kauffman
Julius Rebek, Jr.

Serial No. 08/882,950

Filed: June 26, 1997

For: Random Chemistry for the
Generation of New Compounds

PRELIMINARY AMENDMENT

Honorable Commissioner of
Patents and Trademarks
Washington, D. C. 20231

Dear Sir:

Prior to substantive Examination of the above-identified application,
please enter the following amendment in the above-named application.

IN THE CLAIMS

Kindly amend claims 1, 23 and 24 as follows:

1. (Amended) A method for the production of an organic molecule having a desired property, comprising the steps of:

(a) providing a [starting group of] reaction mixture with at least 10 different organic molecules in solution in the same reaction container;

(b) causing at least one chemical reaction to take place with at least some of the different organic molecules in the [starting group] reaction mixture to create [an intermediate] a reaction mixture having one or more organic molecules different from the organic molecules in the starting group of the previous step;

(c) repeating step (b) at least once by [substituting the intermediate reaction mixture as the starting group] causing at least one chemical reaction to take place with at least some of the organic molecules in the reaction mixture from the previous step or repetition to thereby produce a final reaction mixture as a result of the last repetition; and

(d) screening the final reaction mixture resulting from step (c) for the presence of the organic molecule having the desired property.

23. (Amended) A method for the production of an organic molecule having a desired property, comprising the steps of:

(a) providing a [starting group of] reaction mixture with at least 10 different organic molecules in solution in the same reaction container;

(b) causing at least one chemical reaction to take place with at least some of the different organic molecules in the [starting group] reaction mixture to create [an intermediate] a reaction mixture having one or more organic molecules different from the organic molecules in the starting group of the previous step;

(c) repeating step (b) at least once by [substituting the intermediate reaction mixture as the starting group] causing at least one chemical reaction to take place with at least some of the organic molecules in the reaction mixture from the previous step or repetition to thereby produce a final reaction mixture as a result of the last repetition; and

(d) screening the final reaction mixture resulting from step (c) for the presence of the organic molecule having the desired property; and

(e) if the organic molecule is found in the final reaction mixture, then performing the following additional steps:

(1) dividing the [starting group of] reaction mixture of step (a) with different organic molecules into at least two subgroups, each containing less than all of the different organic molecules in the starting group;

(2) performing steps (b) and (c) on each of the subgroups in the same way as performed with the [starting group] reaction mixture of step (a) to produce a final reaction submixture corresponding to each of the subgroups;

(3) screening each of the final reaction submixtures resulting from step (2) for the presence of the organic molecule having the desired property; and

(4) repeating at least once, steps (1) through (3) for at least one of the successful subgroups from which the organic molecule having the desired property is produced, by substituting the successful subgroup as the [subgroup] reaction mixture in step (1) to thereby identify a narrowed group of different organic molecules from which the compound having the desired property can be produced.

24. (Amended) A method for the production of an organic molecule having a desired property, comprising the steps of:

- (a) providing a [starting group of] reaction mixture with at least 10 different organic molecules in solution in the same reaction container;
- (b) causing at least one chemical reaction to take place with at least some of the different organic molecules in the [starting group] reaction mixture to create [an intermediate] a reaction mixture having one or more organic molecules different from the organic molecules in the starting group of the previous step;
- (c) repeating step (b) at least once by [substituting the intermediate reaction mixture as the starting group] causing at least one chemical reaction to take place with at least some of the organic molecules in the reaction mixture from the previous step or repetition to thereby produce a final reaction mixture as a result of the last repetition;
- (d) screening the final reaction mixture resulting from step (c) for the presence of the organic molecule having the desired property; and
- (e) if the organic molecule having the desired property is found in the final reaction mixture, then performing the following additional steps:
- (1) providing at least two additional [starting groups of] reaction mixtures with at least 10 different organic molecules, each additional [starting group] reaction mixture corresponding to the [starting group] reaction mixture of step (a);
 - (2) performing steps (b) and (c) on each of the additional [starting groups] reactions mixtures in the same way as performed with the [starting group] reaction mixtures of step (a) with the exception that, for each of the additional [starting groups] reactions mixtures, at least one of the chemical reactions is eliminated to thereby produce an additional final reaction mixture from each of the additional [starting groups] reactions mixtures;

(3) screening each of the additional final reaction mixtures resulting from step (2) for the presence of the organic molecule having the desired property;

(4) repeating, at least once, steps (1) through (3) for at least one of the successful additional [starting groups] reaction mixtures from which the organic molecule having the desired property is produced, by [substituting] using the successful additional [starting group] reaction mixture as the additional [starting group] reaction mixture in step (1) to thereby identify a narrowed group of chemical reactions from which the compound having the desired property can be produced.


REMARKS

Support for the amendments above is found throughout the specification.

Respectfully Submitted,

Dated: March 18, 1998

By: _____


Jeffery M. Duncan
Reg. No. 31,609
Attorney for Applicant

BRINKS HOFER
GILSON & LIONE LTD.
Post Office Box 10395
Chicago, Illinois 60610
(312) 321-4200